

CC 3625
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:
Ronald A. Katz, et al.

) Group Art Unit: 3625
)
) Examiner: Yogesh Garg
)

Serial No.: 09/505,619

Filed: February 16, 2000

Atty. File No.: PAT-009B

For: METHODS AND APPARATUS FOR INTELLIGENT SELECTION OF GOODS AND SERVICES
IN TELEPHONIC AND ELECTRONIC COMMERCE

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

RECEIVED
SEP 9 2004
GROUP 3600

Sir:

The references cited on attached form PTO-1449 are being called to the attention of the Examiner.

☒ Copies of the cited foreign patents and/or U.S. patents and/or non-patent references are enclosed herewith.

☐ Copies of the cited U.S. patents and/or U.S. patent application publications are not enclosed in accordance with the waiver dated July 11, 2003, whereby patent applications filed after June 30, 2003 and international applications that have entered the national stage under 35 U.S.C. § 371 after June 30, 2003 need not submit copies of the U.S. patents and U.S. patent application publications.

☐ Are not enclosed, in accordance with 37 C.F.R. 1.98(d), because the references were submitted to the U.S. Patent and Trademark Office in prior application Serial No. _____ filed _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120.

To the best of the applicants' belief, the pertinence of the foreign-language references are believed to be summarized in the attached English abstracts and in the figures, although applicants do not necessarily vouch for the accuracy of the translation.

09/07/2004 JBALINAN 00000095 09505619

01 FC:1806

180.00 OP

00 FC:

CERTIFICATE OF MAILING
(37 C.F.R. §1.8a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

2 September 2004
Date of Deposit

Michele A. Zarinelli
Michele A. Zarinelli

☐ Examiner's attention is directed to the following co-pending application(s) for which priority is not being claimed, copies have been or are being submitted:

Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)

☒ Examiner's attention is directed to the following co-pending application(s), to which the current application claims priority, copies of at least the claims for such pending application are provided or have been provided:

Serial No. 09/038,399 filed March 11, 1998 (Atty. Dckt. No. PAT-009A)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)
 Serial No. _____ filed _____ (Atty. Dckt. No. _____)

Submission of the above information is not intended as an admission that any item is citable under the statutes or rules to support a rejection, that any item disclosed represents analogous art, or that those skilled in the art would refer to or recognize the pertinence of any reference without the benefit of hindsight, nor should an inference be drawn as to the pertinence of the references based on the order in which they are presented. Submission of this statement should not be taken as an indication that a search has been conducted, or that no better art exists.

It is respectfully requested that the cited information be expressly considered during the prosecution of this application and the references made of record therein.

FEES

<input type="checkbox"/>	<p>37 CFR 1.97(b): No fee is believed due in connection with this submission, because the Information Disclosure Statement submitted herewith satisfies one of the following conditions (“√” indicates satisfaction):</p> <p><input type="checkbox"/> Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or</p> <p><input type="checkbox"/> Within three months of the date of entry into the national state of an international application as set forth in 37 CFR 1.491, or</p> <p><input type="checkbox"/> Before the mailing date of a first Office Action on the merits, or</p> <p><input type="checkbox"/> Before the mailing of a first Office Action after the filing of a Request for Continued Examination (RCE) under 37 CFR 1.114.</p> <p>Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 501880.</p>
<input checked="" type="checkbox"/>	<p>37 CFR 1.97(c): The Information Disclosure Statement transmitted herewith is being filed after all the above conditions (37 CFR 1.97(b)), but before the mailing date of one of the following conditions:</p> <p><input checked="" type="checkbox"/> (1) a final action under 37 C.F.R. 1.113, or</p> <p><input type="checkbox"/> (2) a notice of allowance under 37 C.F.R. 1.311, or</p> <p><input type="checkbox"/> (3) an action that otherwise closes prosecution in the application.</p> <p>This Information Disclosure Statement is accompanied by:</p> <p><input type="checkbox"/> A Certification (below) as specified by 37 C.F.R. 1.97(e). Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 501880</p> <p style="text-align: center;">OR</p> <p><input checked="" type="checkbox"/> Enclosed is PTO 2038 (Credit Card Payment Form) in the amount of \$180.00 for the fee set forth in 37 C.F.R. 1.17(p) for submission of an Information Disclosure Statement. Please credit any overpayment or charge any underpayment to Deposit Account 501880.</p>
<input type="checkbox"/>	<p>37 C.F.R. 1.97(d): This Information Disclosure Statement is being submitted after the period specified in 37 C.F.R. 1.97(c).</p> <p><input type="checkbox"/> This Information Disclosure Statement includes a Certification (below) as specified by 37 C.F.R. 1.97(e)</p> <p style="text-align: center;">AND</p> <p><input type="checkbox"/> Applicants hereby requests consideration of the reference(s) disclosed herein. Enclosed is the fee in the amount of \$180.00 under 37 C.F.R. 1.17(p). Please credit any overpayment or charge any underpayment to Deposit Account 501880. Election to pay the fee should not be taken as an indication that applicant(s) cannot execute a certification.</p>

Certification (37 C.F.R. 1.97(e))
(Applicable only if checked)

☐

The undersigned certifies that:

☐

Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(1).

☐

A copy of the communication from the foreign patent office is enclosed.

OR

☐

No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(2).

Respectfully submitted,
WEST CORPORATION

Dated: 1 SEPT 04

By: 

Rocco L. Adornato
Reg. No. 40,480



29129

PATENT & TRADEMARK OFFICE

WEST CORPORATION
11808 Miracle Hills Drive
Omaha, NE 68154



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 10**Complete if Known**

Application Number	09/505,619
Filing Date	February 16, 2000
First Named Inventor	Ronald Katz
Art Unit	3625
Examiner Name	Yogesh Garg
Attorney Docket Number	PAT-009B

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	1	US- 6298331 B1	10-02-2001	Walker, Jay S.	
	2	US- 6317723 B1	11-13-2001	Walker, Jay S.	
	3	US- 6334112 B1	12-25-2001	Walker, Jay S.	
	4	US- 6330548 B1	12-11-2001	Walker, Jay S.	
	5	US- 6321221 B1	11-20-2001	Bieganski, Paul	
	6	US- 6369840 B1	04-09-2002	Barnett, Theodore H.	
	7	US- 6434231 B2	08-13-2002	Neyman, Igor	
	8	US- 6405174 B1	06-11-2002	Walker, Jay S.	
	9	US- 6336104 B1	01-01-2002	Walker, Jay S.	
	10	US- 6334113 B1	12-25-2001	Walker, Jay S.	
	11	US- 6397193 B1	05-28-2002	Walker, Jay S.	
	12	US- 5270920	12-14-1993	Pearse, Derek	
	13	US- 2002/0026394 A1	02-28-2002	Savage, Patrick	
	14	US- 2002/0077960 A1	06-20-2002	Kiely, Neil J.	
	15	US- 6223163 B1	04-24-2001	Van Luchene, Andrew	
	16	US- 4947028	08-07-1990	Gorog, Jonathan M.	
	17	US- 4992940	02-12-1991	Dworkin, Ross E.	
	18	US- 5231571	07-27-1993	D'Agostino, Richard	
	19	US- 2002/0091632 A1	07-11-2002	Turock, David L.	

RECEIVED

SEP 9 2004

GROUP 36001

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ³
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	54	WO 98/33135	07-30-1998	Chislenko, Alexander		
	55	2,222,229	11-25-1997	Gregory, James		
	56	WO 99/66438	12-23-1999	Walker, Jay S.		
	57	WO 99/19809	04-22-1999	Walker, Jay S.		
	58	WO 99/11007	03-04-1999	Walker, Jay S.		
	59	WO 99/11006	03-04-1999	Van Luchene, Andrew		

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

2

of

10

Complete if Known

Application Number	09/505,619
Filing Date	February 16, 2000
First Named Inventor	Ronald Katz
Art Unit	3625
Examiner Name	Yogesh Garg
Attorney Docket Number	PAT-009B

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	20	US- 2002/0012428 A1	01-31-2002	Neyman, Igor	
	21	US- 5790793	08-04-1998	Higley, Thomas	
	22	US- 5748908	05-05-1998	Yu, Mason K.	
	23	US- 5748907	05-05-1998	Crane, Harold E.	
	24	US- 5774670	06-30-1998	Montulli, Lou	
	25	US- 5749081	05-05-1998	Whiteis, David E.	
	26	US- 5790935	08-04-1998	Payton, David W.	
	27	US- 6167383	12-26-2000	Henson, Ken	
	28	US- 6161103	12-12-2000	Rauer, Allon	
	29	US- 5870724	02-09-1999	Lawlor, Matthew P.	
	30	US- 5459306	10-17-1995	Stein, Buddy	
	31	US- 5745681	04-28-1998	Levine, Fredrick E.	
	32	US- 5235509	08-10-1993	Mueller, Raymond J.	
	33	US- 5209665	05-11-1993	Billings, Zeb	
	34	US- 5319542	06-07-1994	King, John E. Jr.	
	35	US- 5727163	03-10-1998	Bezos, Jeffrey P.	
	36	US- 5740549	04-14-1998	Reilly, James P.	
	37	US- 5742929	04-21-1998	Kallman, Robert	
	38	US- 6108493	08-22-2000	Miller, Bradley N.	

RECEIVED
SEP 9 2004
GROUP 3600**FOREIGN PATENT DOCUMENTS**

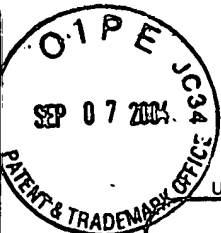
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	60	WO 00/00916	01-06-2000	Solomon, Robert S.		
	61	WO 98/40832	09-17-1998	Chislenko, Alexander		
	62	EP 0827063 B1	11-13-2002	Jorna, Gerardus		
	63	EP 0751471 A1	01-02-1997	Lashkari, Yezdezard Z.		
	64	EP 0265083 A1	09-22-1987	Yourick, Denise Ann		
	65	WO 01/93119 A1	12-06-2001	Urpani, David		

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 3 of 10**Complete if Known**

Application Number	09/505,619
Filing Date	February 16, 2000
First Named Inventor	Ronald Katz
Art Unit	3625
Examiner Name	Yogesh Garg
Attorney Docket Number	PAT-009B

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	39	US- 6088686	07-11-2000	Walker, Darcy	
	40	US- 6086477	07-11-2000	Walker, Jay S.	
	41	US- 6085164	07-04-2000	Smith, Barry Craig	
	42	US- 6266649 B1	07-24-2001	Linden, Gregory D.	
	43	US- 6198739 B1	03-06-2001	Neyman, Igor	
	44	US- 6185558 B1	02-06-2001	Bowman, Dwayne	
	45	US- 6169985 B1	02-02-2001	Almgren, Jonas	
	46	US- 6029141	02-22-2000	Bezos, Jeffrey P.	
	47	US- 6018578	01-25-2000	Bondarenko, Oleg	
	48	US- 5940495	08-17-1999	Bondarenko, Oleg	
	49	US- 5926796	07-20-1999	Walker, Jay S.	
	50	US- 5905974	05-18-1999	Fraser, Stuart A.	
	51	US- 6064980	05-16-2000	Jacobi, Jennifer A.	
	52	US- 5909492	01-01-1999	Payne, Andrew C.	
	53	US- 5905973	05-18-1999	Yonezawa, Kay	
		US-			
		US-			
		US-			
		US-			

RECEIVED

SEP 9 2004

GROUP 3600

FOREIGN PATENT DOCUMENTS

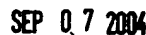
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	66	WO 01/37193 A1	05-25-2001	Sarwar, Badrul M.		
	67	WO 99/10794	03-04-1999	Walker, Jay S.		
	68	WO 98/44699	10-08-1998	Bondarenko, Oleg		
	69	GB 2336925 A1	11-03-1999	Ogasawara, Nobuo		
	70	WO 02/25909 A2	03-28-2002	Haughwout, James		
	71	WO 02/19203 A2	03-07-2002	Gregov, Andrej		

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	4	of	10
-------	---	----	----

Complete if Known

Application Number	09/505,619
Filing Date	February 16, 2000
First Named Inventor	Ronald Katz
Art Unit	3625
Examiner Name	Yogesh Garg
Attorney Docket Number	PAT-009B

U. S. PATENT DOCUMENTS

RECEIVED
SEP 9 2004
GROUP 36000

FOREIGN PATENT DOCUMENTS

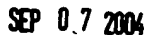
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)	MM-DD-YYYY			
	72	WO 00/21005	04-13-2000	Walker, Jay S.		
	73	WO 00/33222	06-08-2000	Williams, Humphrey N.		
	74	WO 01/24032 A2	04-05-2001	Rauser, John		
	75	WO 00/51050	08-31-2000	Bongiovanni, Michele		
	76	WO 00/38122	06-29-2000	Walker, Jay S.		
	77	WO 00/34910	06-15-2000	Simoudis, Evangelos		

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

(Use as many sheets as necessary)

Sheet	5	of	10
-------	---	----	----

Complete if Known

Application Number	09/505,619
Filing Date	February 16, 2000
First Named Inventor	Ronald Katz
Art Unit	3625
Examiner Name	Yogesh Garg
Attorney Docket Number	PAT-009B

U. S. PATENT DOCUMENTS

RECEIVED
SEP 9 2004
GROUP 3600

FOREIGN PATENT DOCUMENTS

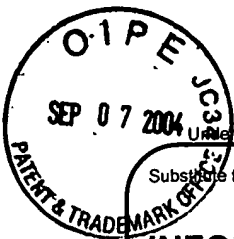
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	78	WO 00/10069	02-24-2000	Walker, Jay S.		
	79	WO 98/43149	10-01-1998	Walker, Jay S.		

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	09/505,619
Filing Date	February 16, 2000
First Named Inventor	Ronald Katz
Art Unit	3625
Examiner Name	Yogesh Garg
Attorney Docket Number	PAT-009B

Sheet

6

of

10

RECEIVED
SEP 9 2004
GROUP 3600**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	80	HILL, KIMBERLY, Autonomy Digs Into Contact-Center Market, www.crmdaily.com, 05-20-2003.	
	81	HELMAN, CHRISTOPHER, Now Hear This, Forbes, 09-15-2003, pgs. 122-124, vol. 172, no. 5.	
	82	BARRIOS, JENNIFER, Billboards That Know You, The New York Times, 12-14-2003, pg. 55.	
	83	SHARDANAND, UPENDRA, Social Information Filtering: Algorithms For Automating "Word Of Mouth", MIT Media Lab, Abstract.	
	84	RUCKER, JAMES, Siteseer: Personalized Navigation For The Web, Communications of the ACM, 03-1997, pgs. 73-76, vol. 40, no. 3.	
	85	MALTZ, DAVID, Pointing The Way: Active Collaborative Filtering, CHI '95 Proceeding Papers.	
	86	MCMAINS, ANDREW, Weiss, Whitten, Stangliano's, AdWeek Eastern Edition, 06-1998, pg. 82, vol. 39, no. 24.	
	87	ICAT, iCat Electronic Commerce Suite Takes "Best Of Show" Award At WebINNOVATION 97, PR Newswire, 06-24-1997,.	
	88	ICAT, iCat's Commerce Suite Makes Setting Up Shop On 'Net Even Easier Than High Street, M2 Presswire, 02-19-1997.	
	89	INTERNET WORLD, IBM To Expand E-Comm Features, Newsbytes News Network, 12-16-1996.	

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number 09/505,619

Filing Date February 16, 2000

First Named Inventor Ronald Katz

Art Unit 3625

Examiner Name Yogesh Garg

Attorney Docket Number PAT-009B

RECEIVED
SEP 9 2004
GROUP 3600

Sheet

7

of

10

NON PATENT LITERATURE DOCUMENTS

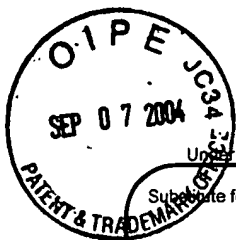
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	90	KAUTZ, HENRY, Referral Web: Combining Social Networks And Collaborative Filtering, Communications of the ACM, 03-1997, pgs. 63-65, vol. 40, no. 3.	
	91	KONSTAN, JOSEPH, GroupLens: Applying Collaborative Filtering To Usenet News, Communications of the ACM, 03-1997, pgs. 77-87, vol. 40, no. 3.	
	92	GREEN, HEATHER, The Information Gold Mine, Business Week e.biz.	
	93	BARAN, PAUL, Some Changes In Information Technology Affecting Marketing In The Year 2000, Changing Marketing Systems, 1967 Winter Conference, pgs. 76-87, no. 26.	
	94	COSMOCOM, Computer Telephony, 07-1998.	
	95	CDNOW, CDnow Rated Top Music Site By eMarketer, The Authority On Business Online, PR Newswire, 09/03/1998.	
	96	FALOUTSOS, CHRISTOS, A Survey Of Information Retrieval And Filtering Methods, University of Maryland, Abstract, pgs. 1-22.	
	97	DRAGAN, RICHARD, Advice From The Web, PC Magazine, 09-09-1997, pg. 133(7), vol. 16, no. 15.	
	98	DELGADO, JOAQUIN, Intelligent Collaborative Information Retrieval, Nagoya Institute of Technology, Abstract.	
	99	DELGADO, JOAQUIN, Content-Based Collaborative Information Filtering: Actively Learning To Classify And Recommend Documents, Nagoya Institute of Technology, Abstract.	

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number 09/505,619

Filing Date February 16, 2000

First Named Inventor Ronald Katz

Art Unit 3625

Examiner Name Yogesh Garg

Attorney Docket Number PAT-009B

Sheet

8

of

10

RECEIVED
SEP 9 2004
GROUP 3600**NON PATENT LITERATURE DOCUMENTS**

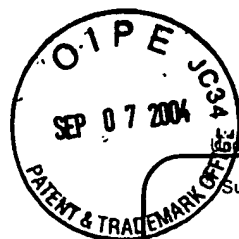
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	100	RESNICK, PAUL, GroupLens: An Open Architecture For Collaborative Filtering Of Netnews, Proceedings of the ACM 1994 Conference on Computer Supported Cooperative Work, Abstract, pgs. 175-186.	
	101	NET PERCEPTIONS, Building Customer Loyalty And High-Yield Relationships Through GroupLens Collaborative Filtering, White Paper, 11-19-1996, pgs. 1-9.	
	102	NASH, EDWARD, Direct Marketing, Strategy, Planning, Execution, 1994, 3rd Edition, McGraw-Hill, Inc., pgs. 164-165, 364-367.	
	103	MILLER, BRADLEY, Experiences With GroupLens: Making Usenet Useful Again, University of Minnesota, Abstract.	
	104	AVERY, CHRISTOPHER, Recommender Systems For Evaluating Computer Messages, Communications of the ACM, 03-1997, pgs. 88-89, vol. 40, no. 3.	
	105	BALABANOVIC, MARKO, Fab: Content-Based, Collaborative Recommendation, Communications of the ACM, 03-1997, pgs. 66-72, vol. 40, no. 3.	
	106	BRIER, STEVEN, Smart Devices Peep Into Your Grocery Cart, New York Times, 07-16-1998, pg. 3, section G, col. 3.	
	107	TERVEEN, LOREN, Phoaks: A System For Sharing Recommendations, Communications of the ACM, 03-1997, pgs. 59-62, vol. 40, no. 3.	
	108	ABLE SOLUTIONS, Able Solutions Announces AbleCommerce 2.6, PR Newswire, 09-15-1998.	
	109	KUFFEL, CHRIS., Mobile Commerce: Money Keeps Rolling In, International Herald Tribune, 10-13-2003.	

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

9

of

10

Complete if Known

Application Number	09/505,619
Filing Date	February 16, 2000
First Named Inventor	Ronald Katz
Art Unit	3625
Examiner Name	Yogesh Garg
Attorney Docket Number	PAT-009B

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	110	US- 6332126 B1	12-18-2001	Roger L. Peirce	
	111	US- 6256614 B1	07-03-2001	Jeff H. Wecker	
	112	US- 5740035	04-14-1998	Gerald B. Cohen	
	113	US- 6337904 B1	01-08-2002	Doug Gisby	
	114	US- 5937390	08-10-1999	Yoshii Hyodo	
	115	US- 5481294	01-02-1996	William L. Thomas	
	116	US- 6081788	06-27-2000	Kenneth H. Appleman	
	117	US- 5490060	02-06-1996	John Malec	
	118	US- 6298348 B1	10-02-2001	Charles A. Eldering	
	119	US- 5740252	04-14-1998	Haisey M. Minor	
	120	US- 6236978 B1	05-22-2001	Alexander Tuzhilin	
	121	US- 6128663	10-03-2000	C. Douglas Thomas	
	122	US- 6026370	02-15-2000	Michael G. Jermyn	
	123	US- 6266668 B1	07-24-2001	Ingrid Vanderveldt	
	124	US- 5758257	05-26-1998	Frederick Herz	
	130	US- 2002/0188511	12-12-2002	Christopher Johnson	
	131	US- 5999914	12-07-1999	Arnold Blinn	
	134	US- 5842199	11-24-1998	Bradley N. Miller	
	135	US- 6317722 B1	11-13-2001	Jennifer A. Jacobi	

RECEIVED

SEP 9 2004

GROUP 3600**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	125	WO 01/37183 A1	05-25-2001	Alan S. Borg		
	132	WO 97/20279	06-05-1997	Paul A. Nash		

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

